

HEALTH ENTITIES

COMPANY NAME: _____ **NAIC Company Code:** _____
Contact: _____ **Telephone:** _____
REQUIRED FILINGS IN THE STATE OF: **ARKANSAS** **Filings Made During the Year** **2005**

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAI C	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 ½"X14")	2	1	0	3/1	NAIC	A, B, E, F, G, H, I, J, K, L
	1.1	Printed Investment Schedule detail (Pages E01-E25)	2	1	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 ½" x 14")	2	1	0	5/15, 8/15, 11/15	NAIC	M
		II. NAIC SUPPLEMENTS						
	10	Actuarial Opinion	2	1	0	3/1	Company	
	11	Investment Risk Interrogatories	2	1	0	4/1	NAIC	
	12	Life Supplement	2	1	0	3/1	NAIC	
	13	Long-term Care Experience Reporting Forms	2	1	xxx	4/1	NAIC	
	14	Management Discussion & Analysis	2	1	0	4/1	Company	
	15	Medicare Supplement Insurance Experience Exhibit	2	1	xxx	3/1	NAIC	
	16	Property/Casualty Supplement	2	1	0	3/1	NAIC	
	17	Risk-Based Capital Report	2	1	0	3/1	NAIC	
	18	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	32	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	33	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	34	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	35	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
	36	Quarterly Electronic Filing	xxx	1	xzx	5/15, 8/15, 11/15	NAIC	
	37	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						
	51	Accountants Letter of Qualifications	2	N/A	N/A		Company	
	52	Audited Financial Statements	2	1	0	6/1	Company	
	53	Audited Financial Statements Exemption Affidavit	2	N/A	N/A		Company	
	54	Independent CPA	2	N/A	N/A		Company	N
	55	Notification of Adverse Financial Condition	2	N/A	N/A		Company	
	56	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A		Company	
	57	Request for Exemption to File	1	N/A	N/A		Company	J
		V. STATE REQUIRED FILINGS						
	101							
	102	Certificate of Deposit	0	1	1	3/1	State	O
	103	Filings Checklist (with Column 1 completed)	1	0	0	3/1	State	For Domestics Only
	104	Signed Jurat (this replaces the Affidavit of Filing and Attestation form from prior year)	0	xxx	1	3/1	NAIC	L
	105							
	106							
	107							
	108							
	109							

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Financial Filings Contact Person:	Annette Craig, Finance Division 501-371-2673 Fax 501-371-2747 Annette.Craig@arkansas.gov
	B	Mailing Address for Annual Statement filings:	Arkansas Insurance Department Attn: Finance Division 1200 West Third Street Little Rock, AR 72201-1904
	C	Mailing Address for all Premium Tax and Filing Fees:	Arkansas Insurance Department Attn: Accounting Division 1200 West Third Street Little Rock, AR 72201-1904 501-371-2605 Fax 501-371-2618
	D	Mailing Address for Premium Tax Payments:	Arkansas Insurance Department Attn: Accounting Division 1200 West Third Street Little Rock, AR 72201-1904 501-371-2605 Fax 501-371-2618
	E	Delivery Instructions:	All filings must be physically received at the Department, no later than the indicated due date. If due date falls on a weekend or federal holiday, then due date is next business day.
	F	Late Filings:	Companies will be fined \$100 per day for late filing.
	G	Original Signatures:	Original signatures on all filings from Domestic. Foreign companies should follow the instructions in the NAIC Annual Statement Instructions.
	H	Signature/Notarization/Certification:	The following officers are required to sign the annual statement: CEO, President and Treasurer.
	I	Amended Filings:	Insurer must file amended items within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing; it should be followed for any amendment.
	J	Exceptions from normal filings: (Submit all requests for extensions/exemptions to Leo Liu, Manager of Financial Analysis. (See Note B for mailing address)	Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing date to receive such from Arkansas. Domestic companies should apply at least 30 days prior to due date.
	K	Bar Codes (State or NAIC)	Please use the instructions in the NAIC Annual Statement Instructions.
	L	Signed Jurat	Used only for foreign companies to indicate that hard copy filing is not required to be submitted to Arkansas. Please note that beginning with the 2004 Annual Financial Statement filings the Jurat page was modified to contain an attestation that will replace the current

			affidavit. By changing the Jurat paragraph, insurers can print the Jurat page from the quarterly/annual statement software and submit this Jurat page in lieu of the attestation that is currently required.
	M	Quarterly Financial Statements	Foreign Insurers are not required to file a copy of the signed Jurat Page or a hard copy on a Quarterly basis.
	N	Independent CPA	Foreign insurers are not required to notify this Dept. of this change.
	0	<p>Certificate of Deposit</p> <p>Send under separate cover to: Malisa Landers, Securities Administrator See Note B for mailing address Questions: 501-371-2679 E-mail: malisa.land@arkansas.gov</p>	The Certificate of Deposit must be for State of Domicile only.
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**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

Electronic Filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The ***Annual Statement Electronic Filing*** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March .PDF Filing*** is the .pdf file for annual statement data, detail for investment schedules and supplements due March 1.

The ***Risk-Based Capital Electronic Filing*** includes all risk-based capital data.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplemental .PDF Filing*** is the .pdf file for all supplemental schedules and exhibits due April 1.

The ***Quarterly Electronic Filing*** includes the complete quarterly filing and the PDF files for all quarterly data.

The ***Quarterly .PDF Filing*** is the .pdf file for quarterly statement data.

The ***June .PDF Filing*** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and have chosen to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: “NAIC,” “State,” or “Company.” If this column contains “NAIC,” the company must obtain the forms from the appropriate vendor. If this column contains “State,” the state will provide the forms with the filing instructions (generally, on the state web site). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.